

# GRANT FUNDING OPPORTUNITY

## Cost Share for Federal Funding Opportunities for Energy Research, Development, and Demonstration



**GFO-18-902**

<http://www.energy.ca.gov/contracts/index.html>

**State of California**

**California Energy Commission**

August 2018



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## ATTACHMENTS

Attachment Number	Title
1	Application Form <i>(requires signature)</i>
2	Project Narrative Form
3	Project Team Form
4	Budget Forms <i>(Excel spreadsheet)</i>
5	CEQA Compliance Form
6	Reference and Work Product Form
7	Contact List Template
8	Commitment and Support Letter Form <i>(letters require signature)</i>
9	Post-Federal Award Proposal Change Summary
10	Total Energy Commission Reimbursable Funds Spent in California
11	References for Calculating Energy End-Use and GHG Emissions

# I. Introduction

## A. PURPOSE OF SOLICITATION

The purpose of this solicitation is to provide cost share funding to applicants that apply for and receive an award under an eligible federal Funding Opportunity Announcement (FOA) and meet the requirements of this solicitation. Before applying, applicants are encouraged to check Eligibility Requirements in Section II of this solicitation. As new eligible FOAs are released, the Energy Commission will revise this document with corresponding information on how to apply for Federal Cost Share for that FOA. Information on currently eligible FOAs can be found in Table 4 in Section II. A. 2. of this solicitation.

If an applicant submits multiple applications that address the same FOA, each application must be for a distinct project (i.e., no overlap with respect to the Project Narrative, Attachment 2).

### Non-Standard Evaluation Process

Evaluation of applications under this solicitation involves two phases (pre- and post-Federal Award) and requires the applicant to submit evidence of non-Energy Commission cost share and FOA awards after initial Energy Commission selection. Please see Part IV of this application manual for additional explanation of the evaluation process. Applicants are also encouraged to carefully read the Key Activities Schedule (See Section I. G.) and Evaluation and Award Process (Section IV.) portions of this solicitation.

### Non-Standard Budget Template

The budget template for this solicitation is non-standard. Be sure to download and use the budget template specific to this solicitation.

## B. KEY WORDS/TERMS

Word/Term	Definition
Applicant	The entity that submits an application to this solicitation
Application	An applicant's written response to this solicitation
AR&D	Applied Research and Development
CAM	<i>Commission Agreement Manager</i> , the person designated by the Energy Commission to oversee the performance of an agreement resulting from this solicitation and to serve as the main point of contact for the Recipient
CAO	Commission Agreement Officer
CEQA	California Environmental Quality Act, California Public Resources Code Section 21000 et seq.
Days	<i>Days refers to calendar days</i>
Disadvantaged Community	These are communities defined as areas representing census tracts scoring in the top 25 % in <i>CalEnviroScreen 3.0</i> . ( <a href="https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-30">https://oehha.ca.gov/calenviroscreen/report/calenviroscreen-30</a> )
EPIC	<i>Electric Program Investment Charge</i> , the source of funding for the projects awarded under this solicitation

<b>Word/Term</b>	<b>Definition</b>
Energy Commission or just Commission	State Energy Resources Conservation and Development Commission or as commonly called, the California Energy Commission
FOA	<i>Funding Opportunity Announcement</i> : grant funding opportunity announcement from Department of Energy and other federal government entities
IOU	<i>Investor-owned utility</i> , an electrical corporation as defined in in California Public Utilities Code section 218. For purposes of this EPIC solicitation, it includes Pacific Gas and Electric Co., San Diego Gas and Electric Co., and Southern California Edison Co.
NOPA	<i>Notice of Proposed Award</i> , a public notice by the Energy Commission that identifies award recipients
Pre-Commercial	<i>Pre-commercial Technology</i> means a technology that has not reached commercial maturity or been deployed at scales sufficiently large and in conditions sufficiently reflective of anticipated actual operating environments to enable the appraisal of operational and performance characteristics, or of financial risks.
Pilot Test	<i>Pilot test</i> means small scale testing in the laboratory or testing on a small portion of the production line of the affected industry. Pilot tests help to verify the design and validity of an approach, and adjustments can be made at this stage before full-scale demonstrations
Principal Investigator	The technical lead for the applicant's project, who is responsible for overseeing the project; in some instances, the Principal Investigator and Project Manager may be the same person
Project Manager	The person designated by the applicant to oversee the project and to serve as the main point of contact for the Energy Commission
Project Partner	An entity or individual that contributes financially or otherwise to the project (e.g., match funding, provision of a test, demonstration or deployment site), and does not receive Energy Commission funds
Recipient	An entity receiving an award under this solicitation
Solicitation	This entire document, including all attachments, exhibits, any addendum and written notices, and questions and answers ("solicitation" may be used interchangeably with "Grant Funding Opportunity")
State	State of California
TD&D	Technology Demonstration and Deployment

### **C. APPLICANTS' ADMONISHMENT**

This solicitation contains application requirements and instructions. Applicants are responsible for **carefully reading** the solicitation, asking appropriate questions in a timely manner, ensuring that all solicitation requirements are met, submitting all required responses in a complete manner by the required date and time, and **carefully rereading** the solicitation before submitting an

application. In particular, please carefully read the **Screening/Scoring Criteria and Grounds for Rejection** in Part IV, and the terms and conditions for the EPIC program located at: <http://www.energy.ca.gov/research/contractors.html>. See section II.A.3, Eligibility Requirements, Applicant Requirements, Terms and Conditions, for additional information.

Applicants are solely responsible for the cost of developing applications. This cost cannot be charged to the State. All submitted documents will become publicly available records upon the posting of the Notice of Proposed Award.

#### **D. ADDITIONAL REQUIREMENTS**

1. Time is of the essence. Due to encumbrance deadlines, the Energy Commission must approve proposed awards at a business meeting (usually held monthly) prior to June 30, 2020. Prior to approval and encumbrance, the Energy Commission must comply with the California Environmental Quality Act (CEQA). To comply with CEQA, the Commission must have CEQA-related information from applicants and sometimes other entities, such as local governments, in a timely manner. Unfortunately, even with this information, the Commission may not be able to complete its CEQA review prior to the encumbrance deadline for every project. For example, if a project requires an Environmental Impact Report, the process to complete it can take many months. For these reasons, it is critical that applicants organize project proposals in a manner that minimizes the time required for the Commission to comply with CEQA and provide all CEQA-related information to the Commission in a timely manner such that the Commission is able to complete its review in time for it to meet its encumbrance deadline.
2. Reservation of right to cancel proposed award. In addition to any other right reserved to it under this solicitation or that it otherwise has, if the Energy Commission determines, in its sole and absolute discretion, that the CEQA review associated with a proposed project would not likely be completed prior to the encumbrance deadline referenced above, and that the Commission's ability to meet its encumbrance deadline may thereby be jeopardized, the Energy Commission may cancel a proposed award and award funds to the next highest scoring applicant, regardless of the originally proposed applicant's diligence in submitting information and materials for CEQA review. Examples of situations that may arise related to CEQA review include but are not limited to:
  - Example 1: If another state agency or local jurisdiction, such as a city or county, has taken the role of lead agency under CEQA, the Energy Commission's review may be delayed while waiting for a determination from the lead agency.
  - Example 2: If the proposed work is part of a larger project for which a detailed environmental analysis has been or will be prepared by another state agency or local jurisdiction, the Energy Commission's review may be delayed as a result of waiting for a supplemental or initial analysis, respectively, from the other agency.
  - Example 3: If the nature of the proposed work is such that a project is not categorically or otherwise exempt from the requirements of CEQA,

and an initial study or other detailed environmental analysis appears to be necessary, the Energy Commission's review, or the lead agency's review, may take longer than the time available to encumber the funds. If an initial study or environmental impact report has already been completed by another state agency or a local jurisdiction, serving as the lead agency, the applicant must ensure that such an analysis covers the work in the proposed project, or must obtain a revised analysis and determination from the lead agency reviewing the proposed project.

- Example 4: If the proposed project clearly falls under a statutory or categorical exemption, or is project for which another state agency or local jurisdiction has already adopted a CEQA finding that the project will cause no significant effect on the environment, the project will likely have greater success in attaining rapid completion of CEQA requirements.

The above examples are not exhaustive of instances in which the Energy Commission may or may not be able to comply with CEQA within the encumbrance deadline, and are only provided as further clarification for potential applicants. Please plan project proposals accordingly.

## **E. BACKGROUND**

### **1. Electric Program Investment Charge (EPIC) Program**

This solicitation will award projects funded by the EPIC, an electricity ratepayer surcharge established by the California Public Utilities Commission (CPUC) in December 2011.<sup>1</sup> The purpose of the EPIC program is to benefit the ratepayers of three investor-owned utilities (IOUs), including Pacific Gas and Electric Co., San Diego Gas and Electric Co., and Southern California Edison Co. The EPIC funds clean energy technology projects that promote greater electricity reliability, lower costs, and increased safety.<sup>2</sup> In addition to providing IOU ratepayer benefits, funded projects must lead to technological advancement and breakthroughs to overcome the barriers that prevent the achievement of the state's statutory energy goals.<sup>3</sup> The EPIC program is administered by the California Energy Commission and the IOUs.

### **2. Program Areas, Strategic Objectives, and Funding Initiatives**

EPIC projects must fall within the following **program areas** identified by the CPUC:

- Applied research and development;
- Technology demonstration and deployment; and

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<sup>1</sup> See CPUC "Phase 1" Decision 11-12-035, December 15, 2011, [http://docs.cpuc.ca.gov/PublishedDocs/WORD\\_PDF/FINAL\\_DECISION/156050.PDF](http://docs.cpuc.ca.gov/PublishedDocs/WORD_PDF/FINAL_DECISION/156050.PDF).

<sup>2</sup> See CPUC "Phase 2" Decision 12-05-037, May 24, 2012, [http://docs.cpuc.ca.gov/PublishedDocs/WORD\\_PDF/FINAL\\_DECISION/167664.PDF](http://docs.cpuc.ca.gov/PublishedDocs/WORD_PDF/FINAL_DECISION/167664.PDF).

<sup>3</sup> California Public Resources Code, Section 25711.5(a), <http://www.leginfo.ca.gov/cgi-bin/displaycode?section=prc&group=25001-26000&file=25710-25712>.

- Market facilitation

In addition, projects must fall within one of the general focus areas (“**strategic objectives**”) identified in the 2018-20 Energy Commission’s EPIC Investment Plan<sup>4</sup> and within one or more specific focus areas (“**funding initiatives**”) identified in the plan. This solicitation targets the following program areas, strategic objective, and funding initiative:

**2018-20 EPIC Triennial Investment Plan**

- **Program Area:** Applied research and development, Technology demonstration and deployment, Market facilitation
- **Strategic Objective S5:** Create a Statewide Ecosystem for Incubating New Energy Innovations
  - **Funding Initiative 5.1.3:** Cost Share for Private, Non-Profit Foundation, or Federal Clean Energy Funding Opportunities

**3. Applicable Laws, Policies, and Background Documents**

This solicitation addresses the energy goals described in the following laws, policies, and background documents.

Laws/Regulations

- **Assembly Bill (AB) 32<sup>5</sup> - Global Warming Solutions Act of 2006**

AB 32 created a comprehensive program to reduce greenhouse gas (GHG) emissions in California. GHG reduction strategies include a reduction mandate of 1990 levels by 2020 and a cap-and-trade program. AB 32 also required the California Air Resources Board (ARB) to develop a Scoping Plan that describes the approach California will take to reduce GHGs. ARB must update the plan every five years.

Additional information: <http://www.arb.ca.gov/cc/ab32/ab32.htm>

Applicable Law: California Health and Safety Code §§ 38500 et. seq.

- **Senate Bill (SB) X1-2<sup>6</sup> - Renewables Portfolio Standard,**

SB X1-2 expanded California’s Renewables Portfolio Standard (RPS) goals and requires retail sellers of electricity and local publicly owned electric utilities to increase their procurement of eligible renewable energy resources to 20 % by the end of 2013, 25 % by the end of 2016, and 33 % by the end of 2020.

Applicable Law: California Public Utilities Code § 399.11 et seq.

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<sup>4</sup> 2018-20 EPIC Triennial Investment Plan, <https://efiling.energy.ca.gov/getdocument.aspx?tn=217347> , as approved by CPUC Decision 18-01-008, <http://docs.cpuc.ca.gov/PublishedDocs/Published/G000/M206/K319/206319491.PDF>.

<sup>5</sup> AB 32 (Statutes of 2006, chapter 488)

<sup>6</sup> SBX 1-2 (Statutes of 2011, first extraordinary session, chapter 1)

- **AB 758, Building Efficiency<sup>7</sup>**

AB 758 requires the Energy Commission to collaborate with the California Public Utilities Commission and stakeholders to develop a comprehensive program to achieve greater energy and water savings in existing residential and nonresidential buildings. The Energy Commission developed a *Existing Buildings Energy Action Plan* in August 2015.

Additional information: <http://www.energy.ca.gov/ab758/>

Applicable Law: California Public Resources Code § 25943, California Public Utilities Code §§ 381.2 and 385.2

- **AB 1109<sup>8</sup> California Lighting Efficiency and Toxics Reduction Act,**

AB 1109 places restrictions on the manufacture and sale of certain general purpose lights (i.e., lamps, bulbs, tubes, and other electric devices that provide functional illumination for indoor and outdoor use) that contain hazardous substances. It also requires the Energy Commission to adopt minimum energy efficiency standards for general purpose lights and to make recommendations to the Governor and Legislature regarding the continuation of reduced lighting consumption beyond 2018.

Additional Information: <http://www.energy.ca.gov/2014publications/CEC-500-2014-039/CEC-500-2014-039.pdf>

Applicable Law: California Health and Safety Code §§ 25210.9 et. seq., California Public Resources Code § 25402.5.4

- **AB 2514<sup>9</sup> - Energy Storage Systems,**

AB 2514 required the CPUC to determine targets for the procurement of viable, cost-effective energy storage systems by load-serving entities. The CPUC adopted the procurement targets in Decision 13-10-040, issued on October 17, 2013 (see the summary of Decision 13-10-040 in the “Policies/Plans” section below).

Additional information: <http://www.cpuc.ca.gov/general.aspx?id=3462>

Applicable Law: California Public Utilities Code §§ 2835 et. seq., and § 9620 ([http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill\\_id=200920100AB2514](http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=200920100AB2514))

- **SB 350<sup>10</sup> Clean Energy and Pollution Reduction Act of 2015,**

SB 350 does the following: 1) expands California’s RPS goals and requires retail sellers of electricity and local publicly owned electricity to increase their procurement of eligible renewable energy resources to 40 % by the end of 2024, 45 % by the end of 2027, and 50 % by the end of 2030; 2) requires the Energy Commission to establish annual targets for statewide energy efficiency savings in electricity and natural gas final end uses of retail customers by January 1, 2030; and 3) provide for transformation of the Independent System Operator into a regional organization.

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<sup>7</sup> AB 758 (Statutes of 2009, chapter 470)

<sup>8</sup> AB 1109 (Statutes of 2007, chapter 534)

<sup>9</sup> AB 2514 (Statutes of 2010, chapter 469)

<sup>10</sup> SB 350 (Statutes of 2015, chapter 547)

Additional information: [http://www.leginfo.ca.gov/pub/15-16/bill/sen/sb\\_0301-0350/sb\\_350\\_bill\\_20151007\\_chaptered.htm](http://www.leginfo.ca.gov/pub/15-16/bill/sen/sb_0301-0350/sb_350_bill_20151007_chaptered.htm)

- **Appliance Efficiency Regulations**

The Energy Commission promulgates appliance efficiency regulations that require manufacturers of various new appliances sold or offered for sale in California to test them using specified test methods. Covered appliances include refrigerators, air conditioners, heaters, plumbing fitting/fixtures, lighting, washers, dryers, cooking products, electric motors, transformers, power supplies, televisions, and battery charger systems.

Additional information: <http://www.bsc.ca.gov/>; <http://www.energy.ca.gov/appliances/>

Applicable Law: California Code of Regulations, Title 20, Division 2, Chapter 4, Article 4, §§ 1601 et. seq.

- **California Energy Code**

The Energy Code is a component of the California Building Standards Code, and is published every three years through the collaborative efforts of state agencies including the California Building Standards Commission and the Energy Commission. The Code ensures that new and existing buildings achieve energy efficiency and preserve outdoor and indoor environmental quality through use of the most energy efficient technologies and construction.

Additional information: <http://www.energy.ca.gov/title24/>

Applicable Law: California Code of Regulations, Title 24, Part 6 and associated administrative regulations in Part 1

## Policies/Plans

- **Governor's Clean Energy Jobs Plan (2011)**

In June 2011, Governor Jerry Brown announced a plan to invest in clean energy and increase efficiency. The plan includes a goal of producing 20,000 megawatts (MW) of renewable electricity by 2020 by taking the following actions: addressing peak energy needs, developing energy storage, creating efficiency standards for buildings and appliances, and developing combined heat and power (CHP) projects. Specific goals include building 8,000 MW of large-scale renewable and transmission lines, 12,000 MW of localized energy, and 6,500 MW of CHP.

Additional information: [http://gov.ca.gov/docs/Clean\\_Energy\\_Plan.pdf](http://gov.ca.gov/docs/Clean_Energy_Plan.pdf)

- **Bioenergy Action Plan (2012)**

Various California state agencies developed the 2012 Bioenergy Action Plan to accelerate clean energy development, job creation, and protection of public health and safety. The plan recommends actions to increase the sustainable use of organic waste, expand research and development of bioenergy facilities, reduce permitting and regulatory challenges, and address economic barriers to bioenergy development.

Additional information:

[http://resources.ca.gov/docs/Final\\_Bioenergy\\_Action\\_Plan\\_ARB\\_-\\_press\\_release\\_8-22-12.pdf](http://resources.ca.gov/docs/Final_Bioenergy_Action_Plan_ARB_-_press_release_8-22-12.pdf)

- **Integrated Energy Policy Report (Biennial)**

California Public Resources Code Section 25302 requires the Energy Commission to release a biennial report that provides an overview of major energy trends and issues facing the state. The IEPR assesses and forecasts all aspects of energy industry supply, production, transportation, delivery, distribution, demand, and pricing. The Energy Commission uses these assessments and forecasts to develop energy policies. The 2015 IEPR included a multi-agency hearing on drought response and provided recommendations for future research and analysis areas.

Additional information: <http://www.energy.ca.gov/energypolicy>

Applicable Law: California Public Resources Code § 25300 et seq.

- **CPUC Decision 13-10-040, “Decision Adopting Energy Storage Procurement Framework and Design Program” (2013)**

The Decision establishes policies and mechanisms for energy storage procurement, as required by AB 2514 (described above). The IOU procurement target is 1,325 megawatts of energy storage by 2020, with installations required no later than the end of 2024.

Additional information:

[http://www.cpuc.ca.gov/uploadedfiles/cpuc\\_public\\_website/content/about\\_us/organization/former\\_commissioners/peevey\(1\)/news\\_and\\_announcements/ferron\\_peevey\\_concurrance\\_storaged1310040.pdf](http://www.cpuc.ca.gov/uploadedfiles/cpuc_public_website/content/about_us/organization/former_commissioners/peevey(1)/news_and_announcements/ferron_peevey_concurrance_storaged1310040.pdf)

- **CPUC’s Energy Efficiency Strategic Plan (2008)**

The Energy Efficiency Strategic Plan creates a roadmap for achieving energy efficiency within the residential, commercial, industrial, and agricultural sectors. The plan was updated in January 2011 to include a lighting chapter.

Additional information: <http://www.cpuc.ca.gov/general.aspx?id=4125>

- **New Residential Zero Net Energy Action Plan 2015-2020**

The Residential New Construction Zero Net Energy Action Plan supports the California Energy Efficiency Strategic Plan’s goal to have 100 % of new homes achieve zero net energy beginning in 2020. The action plan provides a foundation for the development of a robust and self-sustaining zero net energy market for new homes.

Additional information: <http://www.californiaznehomes.com/>

- **California’s Existing Buildings Energy Efficiency Action Plan**

The Existing Buildings Energy Efficiency Action Plan provides a 10-year roadmap to activate market forces and transform California’s existing residential, commercial, and public building stock into high performing and energy efficient buildings. The Plan provides a comprehensive framework centered on five goals, each with an objective and a series of strategies to achieve it. Each strategy includes industry and/or government implementation partners. Water related items are addressed in several of the strategies from the Existing Buildings Energy Efficiency Action Plan including but not limited to strategies 1.5, 2.2, 4.1, and 5.7 from the plan.

Additional Information:

[http://docketpublic.energy.ca.gov/PublicDocuments/15-IEPR-05/TN203806\\_20150310T093903\\_California%E2%80%99s\\_Existing\\_Buildings\\_Energy\\_Efficiency\\_Action\\_Plan.pdf](http://docketpublic.energy.ca.gov/PublicDocuments/15-IEPR-05/TN203806_20150310T093903_California%E2%80%99s_Existing_Buildings_Energy_Efficiency_Action_Plan.pdf)

- **CPUC – Water Energy Nexus Proceeding**

The CPUC recently authorized a series of pilot programs exploring whether energy savings may be realized through water conservation measures. Implicit in this approach is the concept that saving water saves energy. The CPUC’s Energy Division is currently analyzing whether an increase in energy efficiency portfolio emphasis on measures that maximize energy savings in the water sector – such as through leak loss detection and enhancement of water systems efficiency – may be warranted. The Energy Division is also currently considering how cost effectiveness should be analyzed for water/energy nexus programs.

CPUC Rulemaking 13-12-011 grants the Petition for Rulemaking of the Division of Ratepayer Advocates requesting that the CPUC open a Rulemaking proceeding to develop a partnership framework between investor owned energy utilities and the water sector to co-fund programs that reduce energy consumption by the water sector in supplying, conveying, treating, and distributing water

Additional Information: <http://www.cpuc.ca.gov/general.aspx?id=4139>

- **Executive Order B-29-15**

Governor Brown’s Executive Order B-29-15 proclaims the severity of the drought conditions in California and directs the Energy Commission to invest in new technologies that will achieve water and energy savings and greenhouse gas reductions.

- **Executive Order B-30-15**

Governor Brown’s Executive Order B-30-15 established a new interim statewide greenhouse gas emission reduction target to reduce greenhouse gas emissions to 40 % below 1990 levels by 2030, to ensure California meets its target of reducing greenhouse gas emissions to 80 % below 1990 levels by 2050.

- **The Governor's State of Emergency Proclamation on Tree Mortality**

The declaration released on October 30, 2015, declared a state of emergency and sought federal action to help mobilize additional resources for the safe removal of dead and dying trees. It also states, “The California Energy Commission shall prioritize grant funding from the Electric Program Investment Charge for woody biomass-to-energy technology development and deployment, consistent with direction from the California Public Utilities Commission.”

Additional Information:

[https://www.gov.ca.gov/docs/10.30.15\\_Tree\\_Mortality\\_State\\_of\\_Emergency.pdf](https://www.gov.ca.gov/docs/10.30.15_Tree_Mortality_State_of_Emergency.pdf)

### Reference Documents

Refer to the link below for information about past Energy Commission research projects and activities:

<http://www.energy.ca.gov/research/>

## F. FUNDING

### 1. Amount Available and Minimum/ Maximum Funding Amounts

There is **up to \$13,000,000** available for grants awarded under this solicitation. The minimum and maximum funding amounts depend on the type of project. See Table 2 in Section I. F.1 below for details.

An Energy Commission award under this solicitation is contingent on receipt of a federal award under one of the FOAs listed in Section II, Table 4.

Applicants may request cost share from the Energy Commission that meets the following criteria:

- The minimum and maximum award amounts meet the requirements in Table 2 in Section I. F.

**Table 2: Amount Available and Minimum and Maximum Funding Amounts**

<b>EPIC Investment Plan</b>	<b>Total funding under this solicitation</b>	<b>Minimum award amount</b>	<b>Maximum award amount</b>
AR&D	\$5,000,000	\$250,000	\$3,000,000
TD&D	\$5,000,000	\$250,000	\$3,000,000
Market Facilitation	\$3,000,000	\$250,000	\$3,000,000

### Cost Share Requirements

Since the Energy Commission will only provide up to half the cost share of the project, applicants are required to provide at least half the total project cost share from other sources. These sources may not include other Energy Commission awards, and also may not include Energy Commission Natural Gas R&D funds, or EPIC funds received from other sources.

The Energy Commission will only conduct Phase II verification screening after the applicant has provided evidence of the additional cost share as well as evidence of the DOE award. See Table 3 in Section I. G. for deadlines for providing this evidence to the Energy Commission.

### 2. Change in Scope, Project Site, or Funding Amount

If for any reason a proposed grant recipient in Phase II changes any part of the application originally submitted to the Commission, the Commission may at its discretion rescure the application. Any change, including to the scope or total project cost, may affect the eligibility of the project to receive Energy Commission funds.

As part of the Post Federal Award Confirmation of Phase II, Attachment 9 must be filled out and submitted. See Section III. E. for the full list of documentation required in Phase II. The Energy Commission will determine whether a rescore of the application is needed based on the information provided in Attachment 9 and the entire application package. Changes to the project may require rescoring of the entire application, which may result in rescission of the proposed award.

Along with any other rights and remedies available to it, the Energy Commission reserves the right to:

- Increase or decrease the available funding and the group minimum/maximum award amounts described in this section.
- Allocate any additional or unawarded funds to passing applications, in rank order.
- Reduce funding to an amount deemed appropriate if the budgeted funds do not provide full funding for agreements. In this event, the Recipient and Commission Agreement Manager will reach agreement on a reduced Scope of Work commensurate with available funding.

## G. KEY ACTIVITIES SCHEDULE

Key activities, dates, and times for this solicitation and for agreements resulting from this solicitation are presented below. An addendum will be released if the dates change for activities that appear in **bold**.

**Table 3: Key Activities Schedule**

<b>ACTIVITY</b>	<b>DATE</b>
Solicitation Release	August 13, 2018
<b>Pre-Application Workshop</b>	<b>August 30, 2018</b>
Deadline for Written Questions <sup>11</sup>	On-going
Anticipated Distribution of Questions and Answers	Answers will be posted periodically

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<sup>11</sup> This deadline does not apply to non-technical questions (e.g., questions concerning application format requirements or attachment instructions) or to questions that address an ambiguity, conflict, discrepancy, omission, or other error in the solicitation. Such questions may be submitted to the Commission Agreement Officer listed in Section H at any time prior to the application deadline. Please see Section H for additional information.

<b>Deadline to Submit Pre-Federal Award Applications (Phase I)</b>	<b>Refer to Part II. A.2., Table 4</b>
Anticipated Notice of Proposed Award Posting Date (Awardee will receive a Letter of Intent)	30 days after the Deadline to Submit Applications for that FOA
Submission of evidence of federal award and non-Commission cost share to the Energy Commission	No later than 60 days after Federal Award
Anticipated Federal Cost Share Confirmation from the Energy Commission	30 days after submission of evidence of award and additional cost share
Anticipated Energy Commission Business Meeting Date	90 days after the screening of the federal award documentation
Anticipated Agreement Start Date	30 days after the Energy Commission Business Meeting
Anticipated Agreement End Date	No later than March 31,2022

## H. NOTICE OF PRE-APPLICATION WORKSHOP

Energy Commission staff will hold one Pre-Application Workshop to discuss the solicitation with potential applicants. Participation is optional but encouraged. Applicants may attend the workshop in-person, via the internet (WebEx, see instructions below), or via conference call on the date and at the time and location listed below. Please call (916) 654-4381 or refer to the Energy Commission's website at [www.energy.ca.gov/contracts/index.html](http://www.energy.ca.gov/contracts/index.html) to confirm the date and time.

**Date and time:** August 30, 2018 at 10 AM

**Location:** California Energy Commission  
1516 9th Street  
Sacramento, CA 95814  
Charles Imbrecht Room  
Wheelchair Accessible

### WebEx Instructions:

- To join the WebEx meeting, go to <https://energy.webex.com> and enter the meeting number and password below:

**Meeting Number:** 927 702 776

**Meeting Password:** no password

**Topic:** Pre-Application Workshop for GFO-18-902 Federal Cost Share for ERDD

- To Logon with a Direct Phone Number: After logging into WebEx, a prompt will appear on-screen for a phone number. In the “Number” box, enter your area code and phone number and click “OK” to receive a call for the audio of the meeting. International callers may use the "Country/Region" button to help make their connection.
- To Logon with an Extension Phone Number: After you login, a prompt will ask for your phone number. Select “CANCEL.” Call **1-866-469-3239** (toll-free in the U.S. and Canada). When prompted, enter the meeting number above and the unique Attendee ID number listed in the top left area of the screen after login. International callers may dial in using the “Show all global call-in numbers” link (also in the top left area).

**Telephone Access Only:**

Call **1-866-469-3239** (toll-free in the U.S. and Canada). When prompted, enter the meeting number above. International callers may select their number from <https://energy.webex.com/energy/globalcallin.php>.

**Technical Support:**

- For assistance with problems or questions about joining or attending the meeting, please call WebEx Technical Support at **1-866-229-3239**. You may also contact Josh Croft at (916) 445-5309.
- System Requirements: To determine whether your computer is compatible, visit: <http://support.webex.com/support/system-requirements.html>.
- Meeting Preparation: The playback of UCF (Universal Communications Format) rich media files require appropriate players. Please determine whether the players are installed on your computer by visiting: <https://energy.webex.com/energy/systemdiagnosis.php>.
- If you have a disability and require assistance to participate, please Poneh Jones by e-mail at [poneh.jones@energy.ca.gov](mailto:poneh.jones@energy.ca.gov) or (916) 654-4425 at least five days in advance,

**I. QUESTIONS**

During the solicitation process, direct questions to the Commission Agreement Officer listed below:

Phil Dyer, Commission Agreement Officer  
California Energy Commission  
1516 Ninth Street, MS-18  
Sacramento, California 95814  
Telephone: (916) 654-4651  
E-mail: [Phil.Dyer@energy.ca.gov](mailto:Phil.Dyer@energy.ca.gov)

Applicants may ask questions at the Pre-Application Workshop, and may submit written questions via mail, electronic mail, and by FAX. However, all **technical** questions must be received by the deadline listed in the “Key Activities Schedule” above. Questions received after the deadline may be answered at the Energy Commission's discretion. **Non-technical** questions (e.g., questions concerning application format requirements or attachment instructions) may be submitted to the Commission Agreement Officer (CAO) at any time prior the application deadline.

A question and answer document will be e-mailed to all parties who attended the Pre-Application Workshop and provided their contact information on the sign-in sheet. The questions and answers will also be posted on the Commission's website at: <http://www.energy.ca.gov/contracts/index.html>.

If an applicant discovers a **conflict, discrepancy, omission, or other error** in the solicitation at any time prior to the application deadline, the applicant may notify the Energy Commission in writing and request modification or clarification of the solicitation. The Energy Commission, at its discretion will provide modifications or clarifications by either an addendum to the solicitation or by written notice to all entities that requested the solicitation. At its discretion, the Energy Commission may, in addition to any other actions it may choose, re-open the question/answer period to provide all applicants the opportunity to seek any further clarification required.

Any verbal communication with a Commission employee concerning this solicitation is not binding on the State and will in no way alter a specification, term, or condition of the solicitation. Therefore, all communication should be directed in writing to the assigned CAO.

## II. Eligibility Requirements

### A. APPLICANT REQUIREMENTS

Eligible FOAs are listed in Table 4 below. The table also lists the due date for submitting applications to the Energy Commission. This is a continuous solicitation as the Energy Commission may update Table 4 with new Federal Cost Share opportunities as new FOAs are released. Applicants can sign up for the Energy Commission's Opportunity List Serve at <http://www.energy.ca.gov/listservers/> in order to be notified of updates.

Applicants are not eligible to receive cost share under this solicitation to supplement an existing federal award.

#### 1. Eligibility

##### Applicant Eligibility for Cost Share using EPIC funds

This solicitation is open to all public and private entities and individuals with the exception of local publicly owned electric utilities.<sup>12</sup> In accordance with CPUC Decision 12-05-037, funds administered by the Energy Commission may not be used for any purposes associated with local publicly owned electric utility activities.

#### 2. Federal Funding Opportunity Announcements

Table 4: Eligible EPIC FOAs

Funding Opportunity Announcement (FOA) Number and Title	Energy Commission Application Due Date (Phase One – Pre Federal Award)	TIME <sup>13</sup>	Program Area
DE-FOA-0002090: Buildings Energy Efficiency Frontiers & Innovation Technologies (BENEFIT - 2019)	June <del>3</del> <u>17</u> , 2019	5:00 p.m.	Applied Research and Development
DE-FOA-0001980: FY19 Advanced Manufacturing Office Multi-Topic FOA, Topic 1(Subtopic 1.1,1.2 & 1.3) and Topic 3 (Subtopic 3.1) only	June 24, 2019	5:00 p.m.	Applied Research and Development
DE-FOA-0002029: FY19 Bioenergy Technologies Office Multi-Topic FOA, Area of Interest (AOI) Numbers: 2, 6, 9 & 10 only	June 17, 2019	5:00 p.m.	Applied Research and Development

<sup>12</sup> A local publicly owned electric utility is an entity as defined in California Public Utilities Code section 224.3.

<sup>13</sup> Pacific Standard Time or Pacific Daylight Time, whichever is being observed.

DE-FOA-0002099: Advanced Building Construction with Energy Efficient Technologies & Practices (ABC)	July 1, 2019	5:00 p.m.	Applied Research and Development
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### 3. Terms and Conditions

Each grant agreement resulting from this solicitation will include terms and conditions that set forth the recipient’s rights and responsibilities. By signing the Application Form (Attachment 1), each applicant agrees to enter into an agreement with the Energy Commission to conduct the proposed project according to the terms and conditions that correspond to its organization, without negotiation: (1) University of California and California State University terms and conditions; (2) U.S. Department of Energy terms and conditions; or (3) standard terms and conditions. All terms and conditions are located at <http://www.energy.ca.gov/research/contractors.html>. Failure to agree to the terms and conditions by taking actions such as failing to sign the Application Form or indicating that acceptance is based on modification of the terms will result in **rejection** of the application. Applicants **must read** the terms and conditions carefully. The Energy Commission reserves the right to modify the terms and conditions prior to executing grant agreements.

### 4. California Secretary of State Registration

All corporations, limited liability companies (LLCs), limited partnerships (LPs) and limited liability partnerships (LLPs) that conduct intrastate business in California are required to be registered and in good standing with the California Secretary of State prior to its project being recommended for approval at an Energy Commission Business Meeting. If not currently registered with the California Secretary of State, applicants are encouraged to contact the Secretary of State’s Office as soon as possible to avoid potential delays in beginning the proposed project(s) (should the application be successful). For more information, contact the Secretary of State’s Office via its website at [www.sos.ca.gov](http://www.sos.ca.gov). Sole proprietors using a fictitious business name must be registered with the appropriate county and provide evidence of registration to the Energy Commission prior to their project being recommended for approval at an Energy Commission Business Meeting.

### B. PROJECT REQUIREMENTS

Applicants may submit multiple applications. The following rules apply:

- No application can address multiple federal FOAs.
- If an applicant submits multiple applications that address the same FOA, each application must be for a distinct project (i.e., no overlap with respect to the Project Narrative, Attachment 2).

Projects must fall within one or more of the following program areas/stages:

- “Applied research and development” stage, which includes activities that support pre-commercial technologies and approaches that are designed to solve specific problems in the electricity sector. By contrast, the “technology demonstration and deployment” stage involves the installation and operation of pre-commercial technologies or strategies at a scale sufficiently large and in conditions sufficiently reflective of anticipated actual operating environments to enable appraisal of the operational and performance

characteristics and the financial risks.<sup>14</sup> Applied research and development activities include early, pilot-scale testing activities that are necessary to demonstrate the feasibility of pre-commercial technologies.

- “Technology demonstration and deployment” stage, which involves the installation and operation of pre-commercial technologies or strategies at a scale sufficiently large and in conditions sufficiently reflective of anticipated actual operating environments to enable appraisal of operational and performance characteristics, and of financial risks.<sup>15</sup>
- “Market facilitation” stage, which includes activities such as program tracking, market research, education and outreach, regulatory assistance and streamlining, and workforce development to support clean energy technology and strategy deployment.<sup>16</sup>

### **1. Consistency with EPIC Program**

Projects must fall within the scope of one or more of the EPIC funding initiatives described in the Energy Commission’s EPIC Investment Plan.<sup>17</sup>

Applicants must identify the Program Area relevant to the proposed project in Attachment 1.

### **2. Project location**

EPIC projects must be located in California. Pilot testing, demonstration, and deployment sites must be located in a territory served by PG&E, SCE, or SDG&E.

### **3. Project Focus**

The Technical Approach section of the **Project Narrative** should describe, at a minimum:

What major milestones will be accomplished during the project term? Give a short description of the milestone as well as why it is important to the overall development of the technology and the overall path to market.

### **4. Ratepayer Benefits, Technological Advancements, and Breakthroughs**

California Public Resources Code Section 25711.5(a) requires EPIC-funded projects to:

- Benefit electricity ratepayers; and
- Lead to technological advancement and breakthroughs to overcome the barriers that prevent the achievement of the state’s statutory energy goals.

The CPUC defines “ratepayer benefits” as greater reliability, lower costs, and increased safety.<sup>18</sup> The CPUC has also adopted the following guiding principles as complements to the key principle of electricity ratepayer benefits: societal benefits; GHG emissions mitigation and adaptation in the electricity sector at the lowest possible cost; the loading

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<sup>14</sup> See CPUC “Phase 2” Decision 12-05-037 at pp. 36 and 90, [http://docs.cpuc.ca.gov/PublishedDocs/WORD\\_PDF/FINAL\\_DECISION/167664.PDF](http://docs.cpuc.ca.gov/PublishedDocs/WORD_PDF/FINAL_DECISION/167664.PDF).

<sup>15</sup> See CPUC “Phase 2” Decision 12-05-037 at pp. 39-40 and 90, [http://docs.cpuc.ca.gov/PublishedDocs/WORD\\_PDF/FINAL\\_DECISION/167664.PDF](http://docs.cpuc.ca.gov/PublishedDocs/WORD_PDF/FINAL_DECISION/167664.PDF).

<sup>16</sup> See CPUC “Phase 2” Decision 12-05-037 at pp. 61-62 and 90, [http://docs.cpuc.ca.gov/PublishedDocs/WORD\\_PDF/FINAL\\_DECISION/167664.PDF](http://docs.cpuc.ca.gov/PublishedDocs/WORD_PDF/FINAL_DECISION/167664.PDF).

<sup>17</sup> See Electric Program Investment Charge 2018 – 2020 Triennial Investment Plan <https://efiling.energy.ca.gov/getdocument.aspx?tn=217347>.

<sup>18</sup> *Id.* at p. 19.

order; low-emission vehicles/transportation; economic development; and efficient use of ratepayer monies.<sup>19</sup>

Accordingly, the Project Narrative Form (Attachment 2) must describe how the project will: (1) benefit California IOU ratepayers by increasing reliability, lowering costs, and/or increasing safety; and (2) lead to technological advancement and breakthroughs to overcome barriers to achieving the state's statutory energy goals.

#### **5. Measurement and Verification Plan**

Include a Measurement and Verification Plan in the Project Narrative (Attachment 2) that describes how actual project benefits will be measured and quantified, such as by pre and post-project electricity use (kilowatt hours, kilowatts), water use (million gallons), and cost savings for electricity water, and other benefits. Any estimates of electricity and water savings or GHG impacts must be calculated using the References for Calculating Energy End-Use and GHG Emissions (Attachment 11).

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<sup>19</sup> *Id.* at pp. 19-20.

### III. Application Organization and Submission Instructions

#### A. APPLICATION FORMAT, PAGE LIMITS, AND NUMBER OF COPIES

The following table summarizes the application formatting and page limit recommendations:

<p><b>Format</b></p>	<ul style="list-style-type: none"> <li>• <b>Font:</b> 11-point, Arial (excluding Excel spreadsheets, original template headers and footers, and commitment or support letters)</li> <li>• <b>Margins:</b> No less than one inch on all sides (excluding headers and footers)</li> <li>• <b>Spacing:</b> Single spaced, with a blank line between each paragraph</li> <li>• <b>Pages:</b> Numbered and printed double-sided (when determining page limits, each printed side of a page counts as one page)</li> <li>• <b>Signatures:</b> Manual (i.e., not electronic)</li> <li>• <b>Labeling:</b> Tabbed and labeled as required in Sections B and C below</li> <li>• <b>Binding:</b> Original binder clipped; all other copies spiral or comb bound (binders discouraged)</li> <li>• <b>File Format:</b> MS Word version 1997-2003, or version 2007 or later (.doc or .docx format), excluding Excel spreadsheets and commitment or support letters (PDF files are acceptable for the letters)</li> <li>• <b>File Storage:</b> Electronic files of the application must be submitted on a CD-ROM or USB memory stick</li> </ul>
<p><b>Page Limit Recommendations</b></p>	<ul style="list-style-type: none"> <li>• <b>Project Narrative Form</b> (Attachment 2): ten pages excluding documentation for CEQA</li> <li>• <b>Project Team Form</b> (Attachment 3): two pages for each resume</li> <li>• <b>Reference and Work Product Form</b> (Attachment 6): one page for each reference, <b>two</b> pages for each project description</li> <li>• <b>Commitment and Support Letter Form</b> (Attachment 8): <b>two</b> pages, excluding the cover page</li> <li>• There are no page limits for the following:             <ul style="list-style-type: none"> <li>○ <b>Application Form</b> (Attachment 1)</li> <li>○ <b>Budget Forms</b> (Attachment 4)</li> <li>○ <b>CEQA Compliance Form</b> (Attachment 5)</li> <li>○ <b>Contact List Template</b> (Attachment 7)</li> </ul> </li> </ul>
<p><b>Number of Copies of the Application</b></p>	<p>For Hard Copy Submittal Only:</p> <ul style="list-style-type: none"> <li>• <b>1</b> hard copy (with signatures)</li> <li>• <b>One</b> electronic copy (on a CD-ROM or USB memory stick)</li> </ul>

## B. PREFERRED METHOD FOR DELIVERY

The preferred method of delivery for this solicitation is the Energy Commission Grant Solicitation System, available at: <https://gss.energy.ca.gov/>. This online tool allows applicants to submit their electronic documents to the Energy Commission prior to the date and time specified in this solicitation. Electronic files must be in Microsoft Word XP (.doc format) and Excel Office Suite formats unless originally provided in the solicitation in another format. Attachments requiring signatures may be scanned and submitted in PDF format. Completed Budget Forms, Attachment 4, must be in Excel format. The system will not allow applications to be submitted after the due date and time.

First time users must register as a new user to access the system. Applicants will receive a confirmation email after all required documents have been successfully uploaded. A tutorial of the system will be provided at the pre-application workshops and you may contact the Commission Agreement Officer identified in the Questions section of the solicitation for more assistance.

## C. HARD COPY DELIVERY

An applicant may also deliver a hard copy of an application by:

- U.S. Mail
- In Person
- Courier service

Applications submitted in hard copy must be delivered to the Energy Commission Contracts, Grants and Loans Office according to the schedule in Section I.G. If applications are delivered prior to the due date shown on this schedule, then they can be delivered during normal business hours (8 am – 5 pm). Applications received after the specified date and time shown in Section I.G. are considered late and will not be accepted. There are **no exceptions** to this. Postmark dates of mailing, E-mail and facsimile (FAX) transmissions are not acceptable in whole or in part, under any circumstances. There is no need to submit a hard copy of an application that is submitted through the Grant Solicitation System as it will only cause confusion.

### Number of Copies

Applicants submitting a hard copy application are only required to submit one paper copy. Applicants must also submit electronic files of the application on **CD-ROM or USB memory stick** along with the paper submittal. Electronic files must be in Microsoft Word XP (.doc format) and Excel Office Suite formats. Completed Budget Forms, Attachment 4, must be in Excel format. **Electronic files submitted via e-mail will not be accepted.**

### Packaging and Labeling

All hard copy applications must be labeled "Grant Funding Opportunity GFO-18-902," and include the title of the application.

Include the following label information on the mailing envelope:

Applicant's Project Manager  
 Applicant's Name  
 Street Address  
 City, State, and Zip Code

GFO-18-902  
 Contracts, Grants, and Loans Office, MS-18  
 California Energy Commission  
 1516 Ninth Street, 1st Floor  
 Sacramento, California 95814

**D. APPLICATION ORGANIZATION AND CONTENT (FOR PHASE I – PRE FEDERAL AWARD APPLICATIONS)**

1. For all hard copy submittals, submit attachments in the order specified below.
2. Label the proposal application cover “Grant Funding Opportunity GFO-18-902” and include: (a) the title of the application; and (b) the applicant’s name.
3. Separate each section of the application by a tab that is labeled only with the tab number and section title indicated below.

Tab/Attachment Number	Title of Section
1	Application Form ( <i>requires signature</i> )
2	Project Narrative
3	Project Team
4	Budget
5	CEQA Compliance Form
6	References and Work Product
7	Contact List
8	Commitment and Support Letters ( <i>require signature</i> )

Below is a description of each required section of the application. Completeness in submitting the information requested in each attachment will be factored into scoring. Failure to agree to the terms and conditions by taking actions such as failing to sign the Application Form or indicating that acceptance is based on modification of the terms will result in rejection of the application. Applicants must read the terms and conditions carefully, in particular the intellectual property and equipment provisions. Applicants should fund these items with sources other than EPIC funds if the provisions conflict with federal requirements. The Energy Commission reserves the right to modify the terms and conditions prior to executing grant agreements.

**1. Application Form (Attachment 1)**

This form requests basic information about the applicant and the project. The application includes an original form that includes all requested information. The application must be signed by an authorized representative of the applicant’s organization or will be failed.

**2. Project Narrative Form (Attachment 2)**

This form will include the majority of the applicant’s responses to the Scoring Criteria in Section IV:

a. **Project Readiness**

- Include information about the permitting required for the project and whether or not the permitting has been completed. If complete, provide appropriate documentation. If local jurisdiction CEQA review and project approval is not complete, applications must include information documenting progress towards and a schedule for achieving compliance under CEQA within the timeframes specified in this solicitation (see Section I.D). All supporting documentation must be included in Attachment 8.

**3. Project Team Form (Attachment 3)**

Identify by name all key personnel<sup>20</sup> assigned to the project, including the project manager and principal investigator (if applicable), and individuals employed by any major subcontractor (a major subcontractor is a subcontractor receiving at least 25% of Commission funds or \$100,000, whichever is less). Clearly describe their individual areas of responsibility. Include the information required for each individual, including a resume (maximum two pages, printed double-sided).

**4. Budget Forms (Attachment 4)**

The budget template for this solicitation is non-standard. Be sure to download and use the budget template specific to this solicitation. The budget forms are in MS Excel format. Detailed instructions for completing them are included at the beginning of Attachment 5. **Read the instructions before completing the worksheets.** Complete and submit information on **all** budget worksheets. The **information** entered on the worksheet(s) will become a part of the final agreement.

- 1) All project expenditures (reimbursable) must be made within the approved agreement term. The entire term of the agreement and projected rate increases must be considered when preparing the budget.
- 2) The budget must reflect estimates for **actual** costs to be incurred during the agreement term. The Energy Commission may only approve and reimburse for actual costs that are properly documented in accordance with the grant terms and conditions.
- 3) The budget must NOT include any Recipient profit from the proposed project, either as a reimbursed item, match share, or as part of overhead or general and administrative expenses (subcontractor profit is allowable, though the maximum percentage allowed is 10 % of the total subcontractor rates for labor, and other direct and indirect costs as indicated in the Category Budget form). Please review the terms and conditions and budget forms for additional restrictions and requirements.
- 4) The budget must allow for the expenses of all meetings and products described in the Scope of Work once the Scope of Work is developed during agreement development. Meetings may be conducted at the Energy Commission or by conference call, as determined by the Commission Agreement Manager.
- 5) Applicants must budget for permits and insurance. Permitting costs may be accounted for in match share (please see the discussion of permits in the Scope of Work, Attachment 6).

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<sup>20</sup> "Key personnel" are individuals that are critical to the project due to their experience, knowledge, and/or capabilities.

- 6) The budget must NOT identify that EPIC funds will be spent outside of the United States or for out of country travel. However, match funds may cover these costs if there are no legal restrictions.
- 7) Applicants should be aware of and shall adhere to restrictions of using state funds to travel to certain other states pursuant to AB 1887 (2016) and codified at California Government Code Section 11139.8. All applicants should go to the Attorney General's website <https://oag.ca.gov/ab1887> for a current list of states subject to travel restrictions. Grants awarded under this solicitation shall not contain travel paid for with Commission funds (applicants can instead use match funds) to the listed states unless the Commission approves in writing that the trip falls within one of the exceptions under the law.
- 8) **Prevailing wage requirement:** Projects that receive an award of public funds from the Energy Commission often involve construction, alteration, demolition, installation, repair or maintenance work over \$1,000. For this reason, projects that receive an award of public funds from the Energy Commission are likely to be considered public works under the California Labor Code. See Chapter 1 of Part 7 of Division 2 of the California Labor Code, commencing with Section 1720 and Title 8, California Code of Regulations, Chapter 8, Subchapter 3, commencing with Section 16000.

Projects deemed to be public works require among other things the payment of prevailing wages, which can be significantly higher than non-prevailing wages.

By accepting this grant, Recipient as a material term of this agreement shall be fully responsible for complying with all California public works requirements including but not limited to payment of prevailing wage. Therefore, as a material term of this grant, Recipient must either:

- (a) Proceed on the assumption that the project is a public work and ensure that:
  - (i) prevailing wages are paid; and
  - (ii) the project budget for labor reflects these prevailing wage requirements; and
  - (iii) the project complies with all other requirements of prevailing wage law including but not limited to keeping accurate payroll records, and complying with all working hour requirements and apprenticeship obligations;

or,

- (b) Timely obtain a legally binding determination from the Department of Industrial Relations or a court of competent jurisdiction before work begins on the project that the proposed project is not a public work.

**5. California Environmental Quality Act (CEQA) Compliance Form (Attachment 5)**

The Energy Commission requires the information on this form to facilitate its evaluation of proposed activities under CEQA (California Public Resources Code Section 21000 et. seq.), a law that requires state and local agencies in California to assess the potential environmental impacts of their proposed actions. The form will also help applicants to determine CEQA compliance obligations by identifying which proposed activities may be exempt from CEQA and which activities may require additional environmental review. If proposed activities are exempt from CEQA (such as paper studies), the worksheet will help to identify and document this. This form must be completed regardless of whether the proposed activities are considered a “project” under CEQA.

Failure to complete the CEQA process in a timely manner after the Energy Commission’s Notice of Proposed Award may result in the cancellation of a proposed award and allocation of funding to the next highest-scoring project.

**6. Reference and Work Product Form (Attachment 6)**

- 1) Section 1: Provide applicant and subcontractor references as instructed.
- 2) Section 2: Provide a list of past projects detailing technical and business experience of the applicant (or any member of the project team) that is related to the proposed work. Identify past projects that resulted in market-ready technology, advancement of codes and standards, and/or advancement of state energy policy. Include copies of up to three of the applicant or team member’s recent publications in scientific or technical journals related to the proposed project, as applicable.

**7. Contact List Template (Attachment 7)**

The list identifies the names and contact information of the project manager, administrator, accounting officer, and recipient of legal notices.

**8. Commitment and Support Letter Form (Attachment 8)**

A commitment letter commits an entity or individual to providing the service or funding described in the letter. A support letter details an entity or individual’s support for the project. Commitment and Support Letters must be submitted with the application. Letters that are not submitted by the application deadline will not be reviewed and counted towards meeting the requirement specified in the solicitation.

1) Commitment Letters

- If the project involves **pilot testing, demonstration, or deployment** activities, the applicant must include a site commitment letter signed by an authorized representative of the proposed test, demonstration, or deployment site. The letter must: (1) identify the location of the site (street address, parcel number, tract map, plot map, etc.) which must be consistent with Attachments 1 and 8. and (2) commit to providing the site for the proposed activities.
- **Project partners** that are making contributions other than match funding or a test, demonstration, or deployment site, and are not receiving Energy Commission funds, must submit a commitment letter signed by an authorized representative that: (1) identifies how the partner will contribute to the project; and (2) commits to making the contribution.

2) Support Letters

All applicants must include at least one support letter from a project stakeholder (i.e., an entity or individual that will benefit from or be involved in the project) that: (1) describes the stakeholder’s interest or involvement in the project; (2) indicates the

extent to which the project has the support of the relevant industry and/or organizations; and (3) describes any support it intends (but does not necessarily commit) to provide for the project, such as funding or the provision of a test, demonstration, or deployment site.

**E. APPLICATION ORGANIZATION AND CONTENT (FOR PHASE II - POST FEDERAL AWARD APPLICATIONS)**

Following receipt of the federal agency’s notification of an award under an FOA listed in Table 4 in Part II of this solicitation, re-submit Stage One application with the following documents specified below.

Tab #	Attachment #	Title of Section
1	1	Application Form <i>(requires signature)</i>
2	4	Energy Commission Budget Forms
3	8	Updated Commitment and Support Letters <i>(requires signature)</i>
4	9	Post-Federal Award Proposal Change Summary
5	N/A	Proof of Federal Award
6	N/A	DOE-Approved Federal Scope of Work
7	N/A	DOE-Approved Federal Budget

**1. Application Form (Attachment 1)**

Submit a completed Attachment 1 that includes all requested information and is signed by an authorized representative of the applicant’s organization. Information on the Application Form must be updated from Stage One to accurately reflect the scope of the awarded project and changes to the amount of Energy Commission funds requested shall also be updated. **Complete the “Federal Award Description” section for Screening.**

**2. California Energy Commission Scope of Work**

The Scope of Work identifies the tasks for the entire project, including tasks funded by the Energy Commission, the federal agency, and any other sources. All Energy Commission-funded work must be scheduled for completion by the anticipated agreement end date specified in the “Key Activities Schedule” in Part 1.

**3. California Energy Commission Budget Forms (Attachment 4)**

The Energy Commission’s budget forms are in MS Excel format. Instructions for completing them are included at the beginning of Attachment 4 and on each form. **Read the instructions before completing the worksheets.**

**4. Updated Commitment and Support Letter Form (Attachment 8)**

A commitment letter commits an entity or individual to providing the service or funding described in the letter. A support letter details an entity or individual’s support for the project.

1) Commitment Letters

- If the project involves pilot testing, demonstration, or deployment activities, the applicant should include a letter signed by an authorized representative of the proposed test, demonstration, or deployment site that commits to providing the site for the proposed activities.

- Project partners that are making contributions other than a test, demonstration, or deployment site should submit a commitment letter signed by an authorized representative that: (1) identifies how the partner will contribute to the project; and (2) commits to making the contribution.

## 2) Support Letters

All applicants must include at least one support letter from a project stakeholder (i.e., an entity or individual that will benefit from or be involved in the project) that: (1) describes the stakeholder's interest or involvement in the project; (2) indicates the extent to which the project has the support of the relevant industry and/or organizations; and (3) describes any support it intends (but does not necessarily commit) to provide for the project, such as funding or the provision of a test, demonstration, or deployment site.

## 5. **Post-Federal Award Proposal Change Summary (Attachment 9)**

Complete this questionnaire that provides information to the California Energy Commission on changes made to the proposed project after the Energy Commission Letter of Intent was awarded. This questionnaire is to be filled out by the applicant after receipt of a Federal Award and submitted as part of the Post-Federal Award Package.

## 6. **Proof of Federal Award**

Provide a letter from the awarding federal agency that confirms that the applicant has received an award for the project identified on the application form. The letter must include the name of the project, the FOA number, the amount of the federal award, and be signed and dated by an appropriate individual at the awarding federal agency.

## 7. **Approved Federal Scope of Work**

Provide a copy of the Scope of Work approved by the federal awarding agency for inclusion in the federal agreement. **Redact** any confidential information from the Scope of Work (see the "Confidentiality" provision in Part IV, Section D).

## 8. **Approved Federal Budget**

Provide a copy of the federal budget approved by the federal awarding agency for inclusion in the federal agreement. **Redact** any confidential information.

## IV. Evaluation and Award Process

### A. APPLICATION EVALUATION

Evaluation of applications under this solicitation involves two phases. Phase I occurs prior to a FOA award and applicants may receive a Letter of Intent for Federal Cost Share from the Energy Commission based on the score of their Phase I application.

Once an applicant is successful in receiving a Federal Award corresponding to their Phase I submission, the applicant will submit the documentation necessary for a post Federal Award confirmation. The documentation required can be found in Section III. E.

Significant changes to the project - which shall be identified in Attachment 9 - may require rescoring of the entire application. The Energy Commission will determine whether a rescore of the application is needed based on the information provided in the post Federal award confirmation package.

### B. PHASE I – PRE-FEDERAL AWARD PASS/FAIL, NOTICE OF PROPOSED AWARD, AND LETTER OF INTENT

Applications will be evaluated and scored based on responses to the information requested in this solicitation. To evaluate applications, the Energy Commission will organize an Evaluation Committee that consists primarily of Energy Commission staff. The Evaluation Committee may use technical expert reviewers to provide an analysis of applications. Phase I applications will be evaluated in two stages:

#### 1. Stage One: Application Screening

The Contracts, Grants, and Loans Office and/or the Evaluation Committee will screen applications for compliance with the Screening Criteria in **Section G** of this Part. **Applications that fail any of the screening criteria will be rejected.** The Evaluation Committee may conduct optional in-person or telephone **Clarification Interviews** with applicants during the screening process to clarify and/or verify information submitted in the application. However, these interviews may not be used to change or add to the content of the original application. Applicants will not be reimbursed for time spent answering clarifying questions.

#### 2. Stage Two: Application Scoring

Applications that pass Stage One will be submitted to the Evaluation Committee for review and scoring based on the Scoring Criteria in **Section H** of this Part.

- The scores for each application will be the average of the combined scores of all Evaluation Committee members.
- **A minimum score of 70.00 points** is required for the application to be eligible for funding. In addition, the application must receive a minimum score of **49.00 points** for criteria **1–4** to be eligible for funding.
- **Clarification Interviews:** The Evaluation Committee may conduct optional in-person or telephone interviews with applicants during the evaluation process to clarify and/or verify information submitted in the application. However, these interviews may not be used to change or add to the content of the original application. Applicants will not be reimbursed for time spent answering clarifying questions.

## 1. Pass/Fail and Notice of Proposed Award

Applications that receive a minimum score of 70.00 points for all criteria will receive a Letter of Intent to fund the proposed project, contingent on passing Phase II.

- The Energy Commission will post a **Notice of Proposed Award (NOPA)** that includes: (1) the total proposed cost share amount; (2) the passing and non-passing applicants; and (3) the amount of each proposed award. The Commission will post the NOPA at its headquarters in Sacramento and on its website, and will mail it to all entities that submitted an application. The awardee will receive a letter of intent for cost share. Applicants may include the letter in an application to the federal government for the FOA identified in the letter. However, receipt of the letter does not guarantee that the Energy Commission will approve the final application for funding, or that it will award the amount requested.
- The applicant will be responsible for obtaining sufficient cost share to meet federal funding requirements if the Energy Commission does not fund the project or if the amount provided by the Energy Commission is insufficient to meet the FOA's cost share requirement.
- **Debriefings:** Unsuccessful applicants may request a debriefing after the release of the NOPA by contacting the Commission Agreement Officer listed in Part I. A request for debriefing must be received **no later than 30 calendar days** after the NOPA is released.
- In addition to any of its other rights, the Energy Commission reserves the right to:
  - Allocate any additional funds to passing applications, in rank order; and
  - Negotiate with successful applicants to modify the project scope, schedule, and/or level of funding.

## C. PHASE II – POST FEDERAL AWARD CONFIRMATION

Applicants that receive a federal award must submit the all documents described in Section III. E. of this solicitation to the Energy Commission.

Significant changes to the project which shall be identified in Attachment 9 may require rescoring of the entire application. The Energy Commission will determine whether a rescore of the application is needed based on the information provided in Attachment 9.

## D. PASS/FAIL NOTICE OF PROPOSED AWARD, AND AGREEMENT DEVELOPMENT

### 1. Pass/Fail and Notice of Proposed Award

For applications that pass Phase II screening:

- In addition to any of its other rights, the Energy Commission reserves the right to:
  - Allocate any additional funds to passing applications, in rank order; and
  - Negotiate with successful applicants to modify the project scope, schedule, and/or level of funding.

### 2. Agreements

Applications recommended for funding will be developed into a grant agreement to be considered at an Energy Commission Business Meeting. Recipients may begin the project only after full execution of the grant agreement (i.e., approval at an Energy Commission business meeting and signature by the Recipient and the Energy Commission).

- **Resolution Requirement (for government agency recipients only):** Prior to approval of the agreement at a business meeting, government agency recipients (e.g., federal, state, and local governments; air/water/school districts; joint power authorities; and state universities) must provide a resolution that authorizes the agency to enter into the agreement and is signed by a representative authorized to execute the agreement and all documents related to the award.

Resolutions must include: (1) a brief description of the project; (2) the award amount; and (3) an acceptance of the award.

- **Agreement Development:** Agreement development with the Energy Commission will include the creation of an Energy Commission Scope of Work and Schedule. Energy Commission staff will work with the Recipient to create these documents prior to the Energy Commission Business Meeting. The Contracts, Grants, and Loans Office will send the Recipient a grant agreement for approval and signature. The agreement will include the applicable terms and conditions and will incorporate this solicitation by reference. The Energy Commission reserves the right to modify the award documents (including the terms and conditions) prior to executing any agreement.
- **Failure to Execute an Agreement:** If the Energy Commission is unable to successfully execute an agreement with an applicant, it reserves the right to cancel the pending award and to fund the next highest-ranked, eligible application.
- **Agreement Amendment:** The executed agreement may be amended by mutual consent of the Energy Commission and the Recipient. The agreement may require amendment as a result of project review, changes in project scope, and/or availability of funding.

## E. GROUNDS TO REJECT AN APPLICATION OR CANCEL AN AWARD

Applications that do not pass the screening stage will be rejected. In addition, the Energy Commission reserves the right to reject an application and/or to cancel an award in any of the following circumstances:

- The application contains false or intentionally misleading statements or references that do not support an attribute or condition contended by the applicant.
- The application is intended to erroneously and fallaciously mislead the State in its evaluation and the attribute, condition, or capability is a requirement of this solicitation.
- The application does not comply or contains caveats that conflict with the solicitation, and the variation or deviation is material.
- The applicant has previously received funding through a Public Interest Energy Research (PIER) agreement, has received the PIER royalty review letter (which the Energy Commission annually sends out to remind past recipients of their obligations to pay royalties), and has not responded to the letter or is otherwise not in compliance with repaying royalties.
- The applicant has received unsatisfactory agreement evaluations from the Energy Commission or another California state agency.
- The applicant is a business entity that is not in good standing with the California Secretary of State.
- The applicant has not demonstrated that it has the financial capability to complete the project.

- The applicant fails to meet CEQA compliance within sufficient time for the Energy Commission to meet its encumbrance deadline, as the Energy Commission in its sole and absolute discretion may determine.
- The applicant has included a statement or otherwise indicated that it will not accept the terms and conditions, or that acceptance is based on modifications to the terms and conditions.
- The application contains confidential information or identify any portion of the application as confidential.

## F. MISCELLANEOUS

### 1. Solicitation Cancellation and Amendment

It is the policy of the Energy Commission not to solicit applications unless there is a bona fide intention to award an agreement. However, if it is in the State's best interest, the Energy Commission reserves the right, in addition to any other rights it has, to do any of the following:

- Cancel this solicitation;
- Revise the amount of funds available under this solicitation;
- Amend this solicitation as needed; and/or
- Reject any or all applications received in response to this solicitation.

If the solicitation is amended, the Energy Commission will send an addendum to all entities that requested the solicitation, and will also post it on the Energy Commission's website at: [www.energy.ca.gov/contracts](http://www.energy.ca.gov/contracts). The Energy Commission will not reimburse applicants for application development expenses under any circumstances, including cancellation of the solicitation.

### 2. Modification or Withdrawal of Application

Applicants may withdraw or modify a submitted application before the deadline to submit applications by sending a letter to the Commission Agreement Officer listed in Part I. Applications cannot be changed after that date and time. An Application cannot be "timed" to expire on a specific date. For example, a statement such as the following is non-responsive to the solicitation: "This application and the cost estimate are valid for 60 days."

### 3. Confidentiality

Though the entire evaluation process from receipt of applications up to the posting of the NOPA is confidential, **all submitted documents will become publicly available records** after the Energy Commission posts the NOPA or the solicitation is cancelled. **The Energy Commission will not accept or retain applications that identify any portion as confidential.**

### 4. Solicitation Errors

If an applicant discovers any ambiguity, conflict, discrepancy, omission, or other error in the solicitation, the applicant should immediately notify the Energy Commission of the error in writing and request modification or clarification of the solicitation. The Energy Commission will provide modifications or clarifications by written notice to all entities that requested the solicitation. The Energy Commission will not be responsible for failure to correct errors.

### 5. Immaterial Defect

The Energy Commission may waive any immaterial defect or deviation contained in an application. The Energy Commission's waiver will not modify the application or excuse the successful applicant from full compliance with solicitation requirements.

## 6. Disposition of Applicant's Documents

Upon the posting of the NOPA, all applications and related materials submitted in response to this solicitation will become property of the State and publicly available records. Unsuccessful applicants who seek the return of any materials must make this request to the Agreement Officer listed in Part I, and provide sufficient postage to fund the cost of returning the materials.

## G. PHASE I - STAGE ONE: APPLICATION SCREENING

<b>PHASE I SCREENING CRITERIA</b>	<b>Pass/Fail</b>
<i>The Application must pass ALL criteria to progress to Stage Two.</i>	
1. The application is received by the Energy Commission's Contracts, Grants, and Loans Office by the due date and time specified in Table 4 in Part II. A.2., Table 4 of this solicitation and is received in the required manner (e.g., no emails or faxes).	<input type="checkbox"/> Pass <input type="checkbox"/> Fail
2. The Application Form (Attachment 1) is signed where indicated.	<input type="checkbox"/> Pass <input type="checkbox"/> Fail
3. The application addresses only one of the eligible FOA, as indicated on the Application Form.	<input type="checkbox"/> Pass <input type="checkbox"/> Fail
4. If the applicant has submitted more than one application for the same FOA, each application is for a distinct project (i.e., no overlap with respect to the milestones described in Project Narrative, Attachment 2).  <i>If the projects are not distinct and the applications were submitted at the same time for the same FOA, only the first application screened by the Energy Commission will be eligible for funding. If the applications were submitted separately, only the first application received by the Energy Commission will be eligible for funding.</i>	<input type="checkbox"/> Pass <input type="checkbox"/> Fail
5. The requested Energy Commission cost share funding meets the requirements specified in Section 1. F. of this solicitation.	<input type="checkbox"/> Pass <input type="checkbox"/> Fail
6. <i>If the project involves pilot testing/ demonstration/ deployment activities:</i> <ul style="list-style-type: none"> <li>○ The Application Form identifies one or more test/ demonstration/ deployment site locations.</li> <li>○ All pilot test/ demonstration/ deployment sites are located in a California electric IOU service territory (PG&amp;E, SDG&amp;E, or SCE).</li> <li>○ The proposal includes a site commitment letter (Section III.D.11).</li> </ul>	<input type="checkbox"/> Pass <input type="checkbox"/> Fail <input type="checkbox"/> N/A (project does not involve testing/ demonstration/ deployment activities)
7. The application does not contain any confidential information or identify any portion of the application as confidential.	<input type="checkbox"/> Pass <input type="checkbox"/> Fail
8. The applicant has not included a statement or otherwise indicated that it will not accept the terms and conditions, or that acceptance is based on modifications to the terms and conditions.	<input type="checkbox"/> Pass <input type="checkbox"/> Fail

## H. PHASE I - STAGE TWO: APPLICATION SCORING

Proposals that pass ALL Stage One Screening Criteria and are not rejected as described in Section IV.C. will be evaluated based on the Scoring Criteria on the next page and the Scoring Scale below (with the exception of criteria 6–8, which will be evaluated as described in each criterion). Each criterion has an assigned number of possible points, and is divided into multiple sub-criteria. The sub-criteria are not equally weighted. The Project Narrative (Attachment 2) must respond to each sub-criterion, unless otherwise indicated.

- The minimum passing score for **criteria 1–4 is 49.00 points and the total minimum passing score is 70.00 out of 100 points for criteria 1-7.**
- The points for criteria 5–7 will only be applied to proposals that achieve the minimum score for criteria 1–4. The points for criteria 8-10 will only be applied to proposals that achieve the minimum scores for criteria 1-4 and criteria 1-7.

### SCORING SCALE

<b>% of Possible Points</b>	<b>Interpretation</b>	<b>Explanation for Percentage Points</b>
0%	Not Responsive	<ul style="list-style-type: none"> <li>• The response fails to address the criteria.</li> <li>• The omissions, flaws, or defects are significant and unacceptable.</li> </ul>
10-30%	Minimally Responsive	<ul style="list-style-type: none"> <li>• The response minimally addresses the criteria.</li> <li>• The omissions, flaws, or defects are significant and only minimally acceptable.</li> </ul>
40-60%	Inadequate	<ul style="list-style-type: none"> <li>• The response addresses the criteria.</li> <li>• There are one or more omissions, flaws, or defects or the criteria are addressed in a limited way that results in a low degree of confidence in the proposed solution.</li> </ul>
70%	Adequate	<ul style="list-style-type: none"> <li>• The response adequately addresses the criteria.</li> <li>• Any omissions, flaws, or defects are inconsequential and acceptable.</li> </ul>
80%	Good	<ul style="list-style-type: none"> <li>• The response fully addresses the criteria with a good degree of confidence in the applicant's response or proposed solution.</li> <li>• There are no identified omissions, flaws, or defects. Any identified weaknesses are minimal, inconsequential, and acceptable.</li> </ul>
90%	Excellent	<ul style="list-style-type: none"> <li>• The response fully addresses the criteria with a high degree of confidence in the applicant's response or proposed solution.</li> <li>• The applicant offers one or more enhancing features, methods, or approaches that exceed basic expectations.</li> </ul>
100%	Exceptional	<ul style="list-style-type: none"> <li>• All criteria are addressed with the highest degree of confidence in the applicant's response or proposed solution.</li> <li>• The response exceeds the requirements in providing multiple enhancing features, a creative approach, or an exceptional solution.</li> </ul>

**SCORING CRITERIA**

**The Project Narrative (Attachment 2)** must respond to each criterion below, unless otherwise indicated. The responses must directly relate to the solicitation requirements and focus as stated in Section I.A. and Section II.B. Failure to comply with the solicitation could be grounds for application rejection as stated in Section IV.C. Any estimates of energy savings or GHG impacts should be calculated as specified in the **References for Calculating Energy End-Use and GHG Emissions (Attachment 11)**, to the extent that the references apply to the proposed project.

<b>Phase I Scoring Criteria</b>	<b>Maximum Points</b>
<p><b>1. Technical Merit and Need</b></p> <p>a. Provides a clear and concise description of the goals, objectives, technological or scientific knowledge advancement, and innovation in the proposed project.</p> <p>b. Explains how the proposed project will lead to technological advancement and breakthroughs that overcome barriers to achieving the State’s statutory energy goals.</p> <p>c. Summarizes the current status of the relevant technology and/or scientific knowledge, and explains how the proposed project will advance, supplement, and/or replace current technology and/or scientific knowledge.</p> <p>d. Justifies the need for EPIC funding, including an explanation of why the proposed work is not adequately supported by competitive or regulated markets.</p> <p>e. Discusses the degree to which the proposed work is technically feasible and achievable within the agreement term.</p> <p>f. Provides a clear and plausible measurement and verification plan that describes how energy savings and other benefits specified in the application will be determined and measured.</p> <p>g. Provides information documenting progress towards achieving compliance with the California Environmental Quality Act (CEQA) by addressing the areas in Section I.D, and Section III.D.4, and Section III.D.8.</p> <p>h. Provides information described in Section II.B.2.</p>	<b>15</b>
<p><b>2. Technical Approach</b></p> <p>a. Describes the technique, approach, and methods to be used in achieving the milestones described in the Project Narrative. Highlights any outstanding features.</p> <p>b. Describes how tasks will be executed and coordinated with various participants and team members.</p> <p>c. Identifies and discusses factors critical for success, in addition to risks, barriers, and limitations. Provides a plan to address them.</p>	<b>10</b>

Phase I Scoring Criteria	Maximum Points
<ul style="list-style-type: none"> <li>d. Describes how the knowledge gained, experimental results, and lessons learned will be made available to the public and key decision-makers.</li> <li>e. Provides information described in Section II.B.3.</li> </ul>	
<p><b>3. Impacts and Benefits for California Electric IOU Ratepayers</b></p> <ul style="list-style-type: none"> <li>a. Explains how the proposed project will benefit California Investor-Owned Utility (IOU) ratepayers with respect to the EPIC goals of greater reliability, lower costs, and/or increased safety).</li> <li>b. Provides clear, plausible, and justifiable <b>quantitative</b> estimates of potential benefits for California IOU electricity ratepayers, including the following (<i>as applicable</i>): annual electricity and thermal savings (kilowatt-hour and therms), peak load reduction and/or shifting, energy cost reductions, greenhouse gas emission reductions, air emission reductions (e.g., NOx), and water use and/or cost reductions.</li> <li>c. States the timeframe, assumptions, and calculations for the estimated benefits, and explains their reasonableness.</li> <li>d. Identifies impacted market segments in California, including size and penetration or deployment rates, with underlying assumptions.</li> <li>e. Discusses any <b>qualitative</b> or intangible benefits to California IOU electricity ratepayers, including timeframe and assumptions.</li> <li>f. Provides a cost-benefit analysis that compares project costs to anticipated benefits. Explains how costs and benefits will be calculated and quantified, and identifies any underlying assumptions.</li> </ul>	<b>30</b>
<p><b>4. Team Qualifications, Capabilities, and Resources</b></p> <ul style="list-style-type: none"> <li>a. Describes the organizational structure of the applicant and the project team. Includes an organizational chart that illustrates the structure.</li> <li>b. Identifies key team members, including the project manager and principal investigator (<i>include this information in Attachment 3, Project Team Form</i>).</li> <li>c. Summarizes the qualifications, experience, capabilities, and credentials of the key team members (<i>include this information in Attachment 3, Project Team Form</i>).</li> <li>d. Explains how the various tasks will be managed and coordinated, and how the project manager's technical expertise will support the effective management and coordination of all projects in the application.</li> <li>e. Describes the facilities, infrastructure, and resources available to the team.</li> <li>f. Describes the team's history of successfully completing projects (e.g., RD&amp;D projects) and commercializing and/or deploying results/products.</li> <li>g. Identifies past projects that resulted in a market-ready technology (<i>include this information in Attachment 6, Reference and Work Product Form</i>).</li> </ul>	<b>10</b>

Phase I Scoring Criteria	Maximum Points
<p>h. References are relevant to the proposed project and are current, meaning within the past three years (<i>include this information in Attachment 6, Reference and Work Product Form</i>).</p> <p>i. Identifies any collaborations with utilities, industries, or others. Explains the nature of the collaboration and what each collaborator will contribute.</p> <p>j. Demonstrates that the applicant has the financial ability to complete the project, as indicated by the responses to the following questions:</p> <ul style="list-style-type: none"> <li>• Has your organization been involved in a lawsuit or government investigation within the past five years?</li> <li>• Does your organization have overdue taxes?</li> <li>• Has your organization ever filed for or does it plan to file for bankruptcy?</li> <li>• Has any party that entered into an agreement with your organization terminated it, and if so for what reason?</li> <li>• For Energy Commission agreements listed in the application that were executed (i.e., approved at a Commission business meeting and signed by both parties) within the past five years, has your organization ever failed to provide a final report by the date indicated in the agreement?</li> </ul> <p>k. Support or commitment letters (for match funding, test sites, or project partners) indicate a strong level of support or commitment for the project.</p> <p>l. Evaluations of ongoing or previous agreements may be used in scoring for this criterion.</p>	
<p><b>Total Possible Points for criteria 1–4 (Minimum Passing Score for criteria 1–4 is 45.50)</b></p>	<p><b>65</b></p>
<p><b>5. Budget and Cost-Effectiveness</b></p> <p>a. Budget forms are complete, as instructed in Attachment 4.</p> <p>b. Justifies the reasonableness of the total project cost relative to the project goals, objectives, and/or tasks.</p> <p>c. Explains how the applicant will maximize funds for technical tasks necessary to achieve the milestones described in the Project Narrative and minimize expenditure of funds for program administration and overhead.</p> <p>d. The requested funding falls within the minimum and maximum range specified in Part I of this solicitation.</p>	<p><b>5</b></p>

Phase I Scoring Criteria	Maximum Points														
<p><b>6. Funds Spent in California</b></p> <p>Projects that spend Federal and EPIC funds in California will receive points as indicated in the table below. “Spent in California” means that: (1) Funds under the “Direct Labor” category and all categories calculated based on direct labor are paid to individuals who pay California state income taxes on wages received for work performed under the agreement; and/or (2) Business transactions (e.g., material and equipment purchases, leases, rentals, and contractual work) are entered into with a business located in California.</p> <p>Airline ticket purchases for out-of-state travel and payments made to out-of-state workers are not considered funds “spent in California.” However, funds spent by out-of-state workers in California (e.g., hotel and food) and airline travel originating and ending in California are considered funds “spent in California.”</p> <p>The Leverage Ratio compares the Federal and EPIC funds spent in California to the amount of EPIC funds requested using the equation below.</p> <p><b><u>Leverage Ratio:</u></b></p> $\frac{(EPIC\ Funds\ Spend\ in\ CA + Federal\ Funds\ Spend\ in\ CA) - EPIC\ Funds\ Requested}{EPIC\ Funds\ Requested}$ <p>The percentage of possible points will be awarded according to the table below:</p> <table border="1" data-bbox="207 1140 1036 1419"> <thead> <tr> <th>Leverage Ratio</th> <th>Percentage of Possible Points</th> </tr> </thead> <tbody> <tr> <td>&gt;6.0</td> <td>100%</td> </tr> <tr> <td>≥5.0 to &lt;6.0</td> <td>90%</td> </tr> <tr> <td>≥4.0 to &lt;5.0</td> <td>80%</td> </tr> <tr> <td>≥3.0 to &lt;4.0</td> <td>70%</td> </tr> <tr> <td>≥2.0 to &lt;3.0</td> <td>60%</td> </tr> <tr> <td>&lt;2.0</td> <td>0%</td> </tr> </tbody> </table>	Leverage Ratio	Percentage of Possible Points	>6.0	100%	≥5.0 to <6.0	90%	≥4.0 to <5.0	80%	≥3.0 to <4.0	70%	≥2.0 to <3.0	60%	<2.0	0%	<p><b>30</b></p>
Leverage Ratio	Percentage of Possible Points														
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≥2.0 to <3.0	60%														
<2.0	0%														
<p><b>Total Possible Points (Minimum Passing Score is 70)</b></p>	<p><b>100</b></p>														